

PTO/SB/08a/b (08-03)

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U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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<b>Substitute for form 1449A/B/PTO</b>  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (Use as many sheets as necessary)				<b>Complete if Known</b>	
				Application Number	09/900,706-Conf. #3958
				Filing Date	July 6, 2001
				First Named Inventor	D. G. Grant
				Art Unit	3627
				Examiner Name	A. J. Fischer
Sheet	1	of	1	Attorney Docket Number	104704-0007

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
UJF	AA	US-2002/0174119	11-21-2002	Kumamuru et al.	
UJF	AB	US-5,983,224	11-09-1999	SINGH et al.	
UJF	AC	US-6,496,834	12-17-2002	Cereghini et al.	
UJF	AD	US-6,397,166	05-28-2002	LEUNG et al.	
UJF	AE	US-6,092,049	07-18-2000	CHISLENKO et al.	

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>3</sup>
		Country Code <sup>3</sup> -Number <sup>4</sup> -Kind Code <sup>5</sup> (if known)	MM-DD-YYYY			
UJF	BA	JP-0200184239A	03-30-2001	Waseda et al.		
UJF	BB	EP-1271278 A2	02-01-2003	Teraoka et al.		

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 801.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
UJF	CA	Achabal et al., A Decision Support System for Vendor Managed Inventory, Winter 2000, Journal of Retailing, Vol. 76, No. 4, pg 430.	

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Examiner Signature	<i>AJ Fischer</i>	Date Considered	12/9/07
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				Application Number	09/900,706 - 3958
				Filing Date	July 6, 2001
				First Named Inventor	D.G. Grant
				Art Unit	2165-3627 agf
Examiner Name	Not Yet Assigned				
Attorney Docket Number	104704-0007				
Sheet	1	of	1		

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
agf	AA	US-6,253,187	06-26-2001	Fox	
	AB	US-6,293,866	09-25-2001	Walker et al.	
	AC	US-6,306,038	10-23-2001	Graves et al.	
	AD	US-6,328,648	12-11-2001	Walker et al.	
	AE	US-6,331,144	12-18-2001	Walker et al.	
	AF	US-6,520,856	02-18-2003	Walker et al.	
	AG	US-6,553,352	04-22-2003	Delurgio et al.	
	AH	US-2003/0028437 A1	02-06-2003	Grant et al.	
	AI	US-2003/0046127 A1	03-06-2003	Crowe et al.	
	AJ	US-6,308,162	10/23/2001	Quimet et al.	
	AK	US-5,822,736	10/13/1998	Hartman et al.	
	AL	US-5,987,425	11/16/1999	Hartman et al.	
↓	AM	US-6,029,139	02/22/2000	Cunningham et al.	

FOREIGN PATENT DOCUMENTS					
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Country Code <sup>3</sup> -Number <sup>4</sup> -Kind Code <sup>5</sup> (if known)			
agf	BA	WO 98/21907	05-22-1998	Vedel, Peter	

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agf	CA	"Fair Market to Take Guesswork Out of Sale Pricing With New Performance-Based Markdown Engine; Major Step in Online Selling to Help Merchants Maximize Margin," Business Wire, May 21, 2001. (3 pages)	
agf	CB	Screenshots of <a href="http://www.grossprofit.com">www.grossprofit.com</a>	
agf	CC	"Merchants Try Complex Math Tools to Improve Inventory Decisions," by Koloszyk from Stores Magazine	

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Substitute for form 1449A/B/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet	1	of	1
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**Complete if Known**

Application Number	09/900,706-Conf. #3958
Filing Date	July 6, 2001
First Named Inventor	D. G. Grant
Art Unit	2465-3627 <i>DT</i>
Examiner Name	Not Yet Assigned
Attorney Docket Number	104704-0007

**U.S. PATENT DOCUMENTS**

Examiner Initials <sup>*</sup>	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
<i>DT</i>	AA	US-5,758,328	05-26-1998	Giovannoli	
<i>DT</i>	AB	US-5,765,143	06-09-1998	Sheldon et al.	
<i>DT</i>	AC	US-6,253,187-B1	06-26-2001	Fox	
<i>DT</i>	AD	US-6,397,197-B1	05-28-2002	Gindlesperger	

**FOREIGN PATENT DOCUMENTS**

Examiner Initials <sup>*</sup>	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>3</sup>
		Country Code <sup>4</sup> -Number <sup>4</sup> -Kind Code <sup>4</sup> (if known)				

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Examiner Initials <sup>*</sup>	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>

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				Application Number	09/900,706-Conf. #3958
				Filing Date	July 6, 2001
				First Named Inventor	D. G. Grant
				Art Unit	2465-3627 987
				Examiner Name	Not Yet Assigned
Sheet	1	of	1	Attorney Docket Number	104704-0007

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
987	AA	US-5,974,396	10-26-1999	Anderson et al.	
987	AB	US-2001/0044766-A1	11-22-2001	Keyes	
987	AC	US-2001/0014868-A1	08-16-2001	Herz et al.	

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>3</sup>
		Country Code <sup>5</sup> -Number <sup>4</sup> -Kind Code <sup>6</sup> (if known)				

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987	CA	SAS/STAT User's Guide, Version 8 (SAS Publishing: 1999) pp. 1-129.	

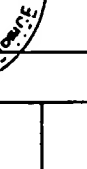
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Examiner Signature	987 Fischer	Date Considered	12/9/07
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Form PTO-1449 (Rev. 8-03)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE			ATTY. DOCKET NO: 0104704-00007		APPLICATION 09/900,706						
<div style="display: flex; justify-content: space-between; align-items: center;"> <div style="text-align: left;"> <b>OPPE</b>  APR 07 2003  PATENT &amp; TRADEMARK OFFICE </div> <div style="text-align: center;"> <b>INFORMATION DISCLOSURE CITATION</b>  <i>(Use several sheets if necessary)</i> </div> </div>					APPLICANT(S): Grant et al.								
					FILING DATE: 7/6/2001		GROUP ART UNIT: <del>2165</del> 3627 007						
<b>U.S. PATENT DOCUMENTS</b>													
EXAMINER INITIAL		DOCUMENT NUMBER						DATE	NAME	CLASS	SUBCLAS S	FILING DATE IF APPROPRIATE *	
QZ7 ↓		5	4	5	0	3	1	4	9/1995	Kagami et al.			<b>RECEIVED.</b>  APR 08 2003  <b>GROUP 3600</b>
		5	9	6	3	9	1	9	10/1999	Brinkley et al.			
		6	0	0	9	4	0	7	12/1999	Garg, Amit			
		6	1	5	1	5	8	2	11/2000	Huang et al.			
		6	2	0	5	4	3	1	3/2001	Willemain et al.			
		6	3	4	1	2	6	9	1/2002	Dulaney et al.			
		6	3	6	6	8	9	0	4/2002	Usrey			
	6	4	9	3	6	7	8	12/2002	Foster et al.				
<b>FOREIGN PATENT DOCUMENTS</b>													
		DOCUMENT NUMBER						DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO	
QZ7		WO 02/29696 A1						4/2002	PCT				
QZ7		WO 90/09638 A1						8/1990	PCT				
<b>OTHER DOCUMENTS (including Author, Title, Date, Pertinent Pages, Etc.)</b>													
QZ7	✓	Ackerman, Jerry, "Looking Back to Fashion's Future," The Boston Globe 10/07/1998 [retrieved 01/07/03], 3 pages, retrieved from: archive.org and Google.com											
↓	✓	Agrawal, Rakesh et al. "Fast Similarity Search in the Presence of Noise, Scaling, and Translation in Time-Series Databases," Proceedings of the 21st International Conference on Very Large Data Bases Sept. 11-15, 1995.											
↓	✓	Datz, Todd, "Pythagorean Pantsuits-Modeling Merchandise," CIO Magazine, 02/15/1999 [retrieved 01/07/03], 1 page, retrieved from Google.com and archive.org.											
↓	✓	Gaffney, Scott and Padhraic Smyth, "Trajectory Clustering with Mixtures of Regression Models," Proceedings: The Fifth ACM SIGKDD International Conference on Knowledge Discovery and Data Mining August 15-18-1999, pp. 63-72.											
Examiner		Date Considered: <i>QZ Fischer</i> 12/9/07											
*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and considered. Include copy of this form with next communication to applicant.													

Form PTO-1449 (Rev. 8-83)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTY. DOCKET NO: 0104704-00007		APPLICATION 09/900,706	
<div style="display: flex; align-items: center; justify-content: center;"> <div style="border: 1px solid black; border-radius: 50%; padding: 10px; text-align: center; margin-right: 10px;"> OIP E APR 07 2003 PATENT &amp; TRADEMARK OFFICE </div> <div> INFORMATION DISCLOSURE CITATION  (Use several sheets if necessary) </div> </div>				APPLICANT(S): Grant et al.			
				FILING DATE: 7/6/2001		GROUP ART UNIT: <del>2165</del> 3627 <i>gt</i>	
<b>U.S. PATENT DOCUMENTS</b>							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLAS S	FILING DATE IF APPROPRIATE
							RECEIVED
							APR 08 2003
							GROUP 3600
<b>U.S. PATENT PUBLICATIONS</b>							
<i>gt</i>		US-2001/0047293	11/2001	Waller et al.			
<i>gt</i>		US-2002/0022985	02/2002	Guidice et al.			
<i>gt</i>		US-2002/0029176	03/2002	Carlson et al.			
<i>gt</i>		US-2002/0072977	06/2002	Hoblit et al.			
<b>FOREIGN PATENT DOCUMENTS</b>							
		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION
							YES      NO
<b>OTHER DOCUMENTS (including Author, Title, Date, Pertinent Pages, Etc.)</b>							
<i>gt</i>	<input checked="" type="checkbox"/>	"Gymboree Selects TSI to Design and Implement Inventory Optimization and Pricing Solution," TSI Press Release, 01/13/1999 [retrieved 01/07/03], 2 pages, retrieved from: Google.com and archive.com.					
	<input checked="" type="checkbox"/>	Jain, Anil K. and Richard C. Dubes, Algorithms for Clustering Data (Prentice Hall: 1988) pp. ix-xi, 1-30.					
	<input checked="" type="checkbox"/>	Keogh, Eamonn and Padhraic Smyth, "A Probabilistic Approach to Fast Pattern Matching in Time Series Databases," Proceedings of the Third Conference in Knowledge Discovery in Databases and Data Mining (1997).					
	<input checked="" type="checkbox"/>	Keogh, Eamonn J. and Michael J. Pazzani, "An Enhanced Representation of Time Series Which Allows Fast and Accurate Classification, Clustering and Relevance Feedback," Fourth Conference on Knowledge Discovery in Databases and Data Mining (1998) pp. 239-243.					
	<input checked="" type="checkbox"/>	Keogh, Eamonn J. and Michael J. Pazzani, "Relevance Feedback Retrieval of Time Series Data," 22nd International Conference on Research and Development in Information Retrieval, August 1999.					
	<input checked="" type="checkbox"/>	Keogh, Eamonn, "A Fast and Robust Method for Pattern Matching in Time Series Databases," Proceedings of WUSS (1997).					
Examiner		Date Considered: <i>Wischer</i> 12/9/04					
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<div style="display: flex; justify-content: space-between;"> <div style="text-align: left;">  </div> <div style="text-align: right;"> <b>INFORMATION DISCLOSURE CITATION</b>  <i>(Use several sheets if necessary)</i> </div> </div>				APPLICANT(S): Grant et al.		FILING DATE: 7/6/2001	
				GROUP ART UNIT: <del>2165</del> 3627 <i>007</i>			

U.S. PATENT DOCUMENTS									
EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLAS	FILING DATE			
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							GROUP 3600		

FOREIGN PATENT DOCUMENTS									
DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION				
						YES	NO		

OTHER DOCUMENTS (including Author, Title, Date, Pertinent Pages, Etc.)					
<div style="font-size: 1.5em; margin-bottom: 10px;">027</div> <div style="font-size: 2em; margin-bottom: 10px;">↓</div>	<div style="display: flex;"> <div style="width: 30px; text-align: center;">✓</div> <div>Koloszyk, Ginger, "Merchants Try Complex Mathematical Tools to Improve Inventory Decisions," <u>Stores Magazine</u> 11/1999 [retrieved 01/07/03], 3 pages, retrieved from: Google.com and archive.org.</div> </div> <div style="display: flex;"> <div style="width: 30px; text-align: center;">✓</div> <div>Kopalle, Praveen K. et al. "The Dynamic Effect of Discounting on Sales: Empirical Analysis and Normative Pricing Implications," <u>Marketing Science</u> 18:3 (1999) 317-332.</div> </div> <div style="display: flex;"> <div style="width: 30px; text-align: center;">✓</div> <div>Levy, Michael R. and Woo, Jonathan, Ph.D. "Yield Management in Retail: The Application of Advanced Mathematics to the Retail Pricing Dilemma," TSI (Marketing Materials), 1999.</div> </div> <div style="display: flex;"> <div style="width: 30px; text-align: center;">✓</div> <div>Merritt, Jennifer, "Company makes Science out of Shopping Trends," <u>Boston Business Journal</u> 09/03/1998 [retrieved on 01/07/03], 3 pages, retrieved from: Google.com and archive.org.</div> </div> <div style="display: flex;"> <div style="width: 30px; text-align: center;">✓</div> <div>Rice, John A. "Mathematical Statistics and Data Analysis," 2nd Ed. Duxbury Press pp. xiii-xx, 1-30.</div> </div> <div style="display: flex;"> <div style="width: 30px; text-align: center;">✓</div> <div>Screenshots of Technology Strategy, Inc., www.grossprofit.com, 03/02/2000 [retrieved on 01-07/03], 9 pages, retrieved from: Google.com and archive.org.</div> </div> <div style="display: flex;"> <div style="width: 30px; text-align: center;">✓</div> <div>Silva-Risso, Jorge M. et al. "A Decision Support System for Planning Manufacturers' Sales Promotion Calendars," <u>Marketing Science</u> 18:3 (1999) 274-300.</div> </div> <div style="display: flex;"> <div style="width: 30px; text-align: center;">✓</div> <div>Smith, Stephen A. and Achabal, Dale D. "Clearance Pricing and Inventory Policies for Retail Chains," <u>Management Science</u> 44:3 (March 1998), pp. 285-300.</div> </div> <div style="display: flex;"> <div style="width: 30px; text-align: center;">✓</div> <div>"Technology Strategy, Inc. Names Jonathan Woo as Director of R&amp;D," TSI Press Release, 07/15/1998 [retrieved 01/07/03], 1 pages, retrieved from: Google.com and archive.org.</div> </div> <div style="display: flex;"> <div style="width: 30px; text-align: center;">✓</div> <div>"Wal-mart: Retailer of the Century: High-Tech Complements Human Touch," <u>Discount Store News</u> 10/11/1999 [retrieved 06/26/02], 3 pages, retrieved from: www.lexus.com.</div> </div> <tr> <td style="text-align: center; vertical-align: top;"> <div style="font-size: 1.5em; margin-bottom: 10px;">↓</div> </td> <td style="padding: 5px;"> Date Considered: <i>Dr. Fischer</i> <i>12/9/04</i> </td> </tr> <tr> <td colspan="2" style="padding: 5px;"> <small>*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and considered. Include copy of this form with next communication to applicant.</small> </td> </tr>	<div style="font-size: 1.5em; margin-bottom: 10px;">↓</div>	Date Considered: <i>Dr. Fischer</i> <i>12/9/04</i>	<small>*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and considered. Include copy of this form with next communication to applicant.</small>	
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<small>*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and considered. Include copy of this form with next communication to applicant.</small>					

Substitute Form PTO-1449 (Modified)	Department of Commerce Patent and Trademark Office	Attorney's Docket No. 10530-004001	Application No. 09/900,706
		Applicant D. Graeme Grant et al.	
		Filing Date July 6, 2001	Group Art Unit 2165-3627 agf

**Information Disclosure Statement**  
by Applicant  
(Use several sheets if necessary)

(37 CFR §1.98(b))

**U.S. Patent Documents**

Examiner Initial	Desig. ID	Patent Number	Issue Date	Patentee	Class	Subclass	Filing Date If Appropriate
agf	AA	5,237,496	08/17/93	Kagami et al.			
	AB	5,237,498	08/17/93	Tenma et al.			
	AC	5,933,813	08/03/99	Teicher et al.			
	AD	6,006,196	12/21/99	Feigin et al.			
	AE	6,061,691	05/09/00	Fox			
	AF	6,230,150 B1	05/08/01	Walker et al.			
	AG						
	AH						
	AI						

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**Foreign Patent Documents or Published Foreign Patent Applications**

Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation
	AJ						
	AK						
	AL						
	AM						
	AN						

**Other Documents (include Author, Title, Date, and Place of Publication)**

Examiner Initial	Desig. ID	Document
agf	AO	Technology Strategy, Inc., company marketing materials, copyright 1991, Technology Strategy, Inc.
	AP	Spyros Makridakis, "Forecasting", copyright 1997, John Wiley & Sons, Inc., pp. 312, 373-374.
	AQ	Technology Strategy, Inc., company marketing materials, copyright 1998, Technology Strategy, Inc.
	AR	Qinan Wang, et al., "Improving a supplier's quantity discount gain from many different buyers"; Nanyang Business School, School of Mechanical and Productivity Engineering, Nanyang Technological University, Singapore, May 1998, <i>IIE Transactions</i> , (2000) 32:1071-1079.
	AS	"Businessworld (Philippines): Special Feature: Alliances of Accenture: Accenture, Profitlogic team helps retailers enhance sales; <i>Businessworld</i> ; Feb. 5, 2001 issue 01163930, page 1.
	AT	

Examiner Signature <i>agf Fischer</i>	Date Considered <i>12/9/01</i>
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	